

ACADEMIC RESEARCHERS, GRADUATE STUDENT RESEARCHERS AND POSTDOCTORAL SCHOLARS RESEARCH SUPPORT

COMMITMENT

This document includes information regarding UC Davis plans to address the funding shortfall for spring quarter 2023 through spring quarter 2024 for contract- and grant-funded academic researchers, graduate student researchers, and postdoctoral scholars.

UC Davis recognizes it is paramount that we preserve the research and teaching mission for this next year so that both remain vibrant while we determine a more sustainable university for the future. This is central to our campus identity. It is central to our commitment to improving the lives of individuals and to making substantial contributions to our state and the world beyond. Thus, we are committing to sustaining our research mission through campus funding sources since funding will not be provided by the UC Office of the President to defray increased costs associated with the new UAW contracts.

We recognize that shared funding between central campus, colleges, schools, units, and faculty in the coming academic year is only a stopgap measure and not a long-term solution given the project impact.

DEFINITIONS

College/School/Unit: The local contribution (\$2,500 from the PI and \$2,500 from the college/school/unit) can be satisfied in a variety of ways. The “College/School/Unit” could include the college, school, organized research unit, center, institute, department, and/or graduate group.

Covered Employee: Academic Researchers, Graduate Student Researchers, and Postdoctoral Scholars who are funded on contracts or grants. Covered Employees includes all graduate students matriculated in Fall 2022 or earlier if they are appointed as a Graduate Student Researcher during the Mitigation Program Period.

Demonstrated Need: A demonstrated need occurs when either a PI is unable to meet the \$5,000 local contribution toward contract- or grant-related salary requirements (per Covered Employee) after 1) Re-budgeting [<https://research.ucdavis.edu/about-us/news-center/announcements/guidance/>] as/if allowed by the sponsor; 2) Adjusting Covered Employee contracts at expiration (only); 3) Using allowable funds in faculty controlled accounts (faculty enrichment, F&A return, gift or endowment funds, and/or faculty startup); and/or 4) identifying \$2,500 college/school/unit funds.

Newly Hired (Covered Employee): Covered Employees who matriculate after fall quarter 2022, central campus funds will not be available. ***If a graduate student was an employee in any category (TA, for example), central campus funds may be requested.***

Principal Investigator (PI) Eligibility (or Eligibility): Any PI who has existing extramural contracts and grants active during the Mitigation Program Period that utilize the following types of employees subject to recent bargaining agreements: academic researchers, graduate student researchers, and postdoctoral scholars. PI’s will identify a minimum of \$5,000 of local support (\$2,500 from the PI and \$2,500 from college/school/unit) towards the salary for each for Covered Employee during the Mitigation Program Period. *Re-budgeting counts toward the local support total.* All PI’s with a demonstrated need for central funds will receive the subsidy. NOTE: For awards with multiple PIs, each PI should submit an application for the employee they supervise (PI who is accountable for the employee based on the UC Path supervisor).

Multiple colleges/schools/units are allowed to contribute additional funding in this circumstance at their discretion if they wish to provide more than the \$2,500 minimal pledge.

Re-budget(ing): After a contract or grant is awarded, the PI may determine that the approved budget allocations are no longer consistent with the project's aims. Investigators may request a formal reallocation of funds from one spending category to another category to align with the project requirements. This process is called "Re-budgeting" or a budget revision. Many sponsors allow Re-budgeting without prior approval, while others require formal pre-approval when Re-budgeting into our out of a spending category exceeds a specified percentage of the award amount. NOTE: Re-budgeting may have an effect on the contract or grants F&A recovery. See <https://research.ucdavis.edu/about-us/news-center/announcements/guidance/> for additional information on Re-budgeting including an overview of key sponsor requirements.

Research Support / Mitigation Program Period (or Program Period): Start of Spring Quarter 2023 (March 30, 2023) to end of Spring Quarter 2024 (June 13, 2024)

INTRODUCTION

This document provides details on our shared vision for funding research support for Covered Employees. This document also includes guidelines to request central funding for research support for these critical contract- and grant-funded salary and benefit expenses.

For external contracts and grants already in progress, we anticipate a total shortage of approximately \$12-14 million in the Program Period due to increased costs for salaries and benefits for Covered Employees.

- The [messages to all faculty sent January 26](#) and [February 16](#) stated that funding for salary and benefit increases will be a shared responsibility. For existing employees covered under UAW contracts, PI's are expected to Re-budget their contracts and grants (including training grants) and/or use discretionary or personal research funds to support their Covered Employees. It is expected that each PI will identify \$2,500 toward the additional costs for each Covered Employee through re-budgeting and/or use of PI-managed funds.
- PI's are expected to augment Mitigation Period funding contributing \$2,500 toward Covered Employee salaries. Colleges, schools and/or units are expected to augment the above funding by an additional \$2,500 toward the additional costs of salary for each Covered Employee.
- For the Program Period, an estimated \$8 million in central campus funds will be used to make up the remaining difference between the \$5,000 total in salary and benefits noted above and the final additional costs for the Covered Employees. PIs and colleges, schools, or units are expected to meet the \$5,000 share or the total salary and benefit need, whichever is less. For example, if an employee contract expires in 3 months and the increased salary needed during that period is \$4,000, then the PI and unit will meet this full need and no campus funds will be needed. The shares will not be prorated. If the employee needs funding through spring 2024 and that cost is \$12,000, the PI and unit will fund \$5,000 and the campus will fund \$7,000. Contact Graduate Studies gspayments@ucdavis.edu with questions regarding fee remissions.
- If a PI has Covered Employees funded from sources other than contracts and grants—including voluntary cost-share commitments such as training grants—they (the PI and college/school/unit) will be responsible for fully funding the increased cost of salaries and benefits to support their Covered Employees.

- Covered Employees funded directly by faculty (from faculty-managed accounts or other local resources) will be funded fully by existing local resources.
- For newly hired Covered Employees who matriculate after fall quarter 2022, central campus funds will not be available. ***If a graduate student was an employee in any category (TA, for example), central campus funds may be requested.***
- Increased salary costs for Presidential Postdoctoral Fellows and Chancellor's Postdoctoral Fellows will be funded through central campus funding and NO APPLICATION/spreadsheet is required. Contact Donna Udahl (dfudahl@ucdavis.edu) with questions.

As a reminder, all PI's are required to plan for the salary and benefit increases in their contract and grant applications submitted on or after February 1, 2023. Visit the [Office of Research FAQ's](#) for more information and resources.

GUIDELINES

Central funding will be provided for the Mitigation Program Period. Spreadsheets and Applications (if required) must be submitted prior to the launch of the Spring 2024 quarter (3/28/2024).

The steps below are intended to provide guidance in determining when/if to request campus funds for contract- and grant-funded research support for Covered Employees.

STEP 1: Determine if the Covered Employees are currently funded on contract and grant funds.

- ➡ If **YES**, proceed to Step 2.
- ➡ If **NO**, see the list below for action steps for the Covered Employees.
 - Fellows included in the bargaining units that are paid by other external funds: Contact Graduate Studies gspayments@ucdavis.edu with questions/form information.
 - Employees funded by mandatory or voluntary cost-share or other local resources will be the responsibility of the PI and college/school/unit to address locally.

STEP 2: Determine if you can fund Covered Employee salaries by using allowable funds in the contract or grant budget. Options include, but are not limited to those listed below.

- Re-budget within contracts or grants, as allowable. The Office of Research has compiled a [List of General Grant Re-budgeting](#) Policies for guidance. If you are not certain if Re-budgeting is allowed, please consult your local research administrator who can consult with the Dean's Office as/if needed.
- Adjust employee contracts at expiration only.
- ➡ If **YES**, no central funds are required
- ➡ If **NO**, you cannot fund all Covered Employee salaries through Re-budgeting, Re-budgeting is not permitted, or through contract adjustments, proceed to Step 3.

STEP 3: Determine if you can fund Covered Employees through the use of allowable funds in faculty controlled accounts including, but not limited, Faculty enrichment, F&A return, Gift or endowment funds, and/or Faculty startup funds.

- If **YES**, no central funds are required
- If **NO**, you cannot fund all Covered Employee salaries through Re-budgeting, adjusting Covered Employee contracts at the expiration, use of faculty-controlled accounts (\$2,500), and/or the local college/school/unit contribution (\$2,500), proceed to Step 4.

STEP 4: Submit a Request for Central Funds

- **PI's who meet the local share (\$5,000)** and have a demonstrated need for a campus subsidy will submit the [Employee and Contribution Summary Workbook](#) and a copy of the contract or grant budget.
- **PI's who cannot meet the local share (\$5,000)** and have a demonstrated need for a campus subsidy will submit the [Application Form](#), the [Employee and Contribution Summary Workbook](#), and a copy of the contract or grant budget.

Applicants may apply for funding any time between 4/10/2023 and prior to the beginning of the spring 2024 quarter (3/28/2024). Requests for an exception (PI's who cannot meet the local share of \$5,000) will be reviewed within 45 days of submission.

Central funds will be allocated, based on remaining need per eligible Covered Employee, for the Mitigation Program Period.

If the PI re-establishes funding from other sources (an NIH Supplement, for example) during the contract or grant period, the unspent central funds will be returned.

Allocation of central funds will be handled centrally (by BIA).

Additional information is provided in the [FAQ's](#).

USE OF FUNDS

- PI's may seek central funds only for the salary of existing Covered Employees for the Mitigation Program Period on existing contracts and grants.
- Central funds cannot be used for budget overdrafts, supplies, animal care, travel, equipment, or PI/other salaries and benefits.
- ***Graduate Program Fellowship Allocations or "Block Grant" funding may not be used to mitigate the increased salary costs on sponsored projects.***

HOW TO APPLY

- PI's who meet the local share (\$5,000) and have a demonstrated need for a campus subsidy will submit the [Employee and Contribution Summary Workbook](#) and a copy of the contract or grant budget to Denise Ehlen via email to dmehlen@ucdavis.edu with the SUBJ line CENTRAL FUND REQUEST.
- PI's who **cannot** meet the local share (\$5,000) and have a demonstrated need for a campus subsidy will submit the [Application Form](#), the [Employee and Contribution Summary Workbook](#), and a copy of the contract or grant budget to Denise Ehlen via email to dmehlen@ucdavis.edu with the SUBJ line CENTRAL FUND REQUEST.

FUNDING ALLOCATION

- This is not a competitive or peer-reviewed program. Central funds **will** be allocated, based on need, for costs that will occur/be incurred during the Program Period.
- Requests for an exception (PI's who cannot meet the local share of \$5,000) will be reviewed within 45 days of submission.

QUESTIONS

Please contact Denise Ehlen, dmehlen@ucdavis.edu, if you have questions or require additional information to prepare and submit your central funding request. To ensure a timely response, please include CENTRAL FUND REQUEST in the subject of your email.